



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant: Parsons, Craig A.
Title: Fiber Optic Tap With Compensated Spectral Filter

Docket No.: 1010.8126UU
Filed: September 5, 2003
Examiner: Unknown


Serial No.: 10/656920
Due Date: N/A
Group Art Unit: Unknown

Commissioner for Patents
P.O.Box 1450
Alexandria, VA 22313-1450

We are transmitting herewith the following attached items (as indicated with an "X"):

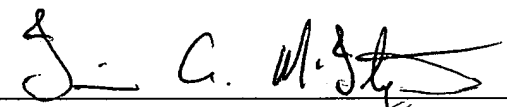
- ☒ A return postcard.
- ☒ An Information Disclosure Statement (2 pgs.), Form 1449 (2 pgs.), and copies of 17 cited documents.
- ☒ Change of Correspondence Address (1 pg.).

If not provided in a separate paper filed herewith, Please consider this a **PETITION FOR EXTENSION OF TIME** for sufficient number of months to enter these papers and please charge any additional fees or credit overpayment to Deposit Account No. 50-2886.

By: 
Atty: Iain A McIntyre
Reg. No. 40337

CERTIFICATE UNDER 37 CFR 1.8: The undersigned hereby certifies that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail, in an envelope addressed to: Commissioner for Patents, P.O.Box 1450, Alexandria, VA 22313-1450, on this 8th day of January, 2004.

Iain A. McIntyre
Name


Signature

(GENERAL)



S/N 10/656920

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:	Parsons, Craig A.	Examiner:	Unknown
Serial No.:	10/656920	Group Art Unit:	Unknown
Filed:	September 05, 2003	Docket:	1010.8126UU
Title:	FIBER OPTIC TAP WITH COMPENSATED SPECTRAL FILTER		

INFORMATION DISCLOSURE STATEMENT

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Dear Sir/Madam:

In compliance with the duty imposed by 37 C.F.R. § 1.56, and in accordance with 37 C.F.R. §§ 1.97 *et. seq.*, the enclosed materials are brought to the attention of the Examiner for consideration in connection with the above-identified patent application. Applicant respectfully requests that this Information Disclosure Statement be entered and the documents listed on the attached Form 1449 be considered by the Examiner and made of record. Pursuant to the provisions of MPEP 609, Applicant requests that a copy of the 1449 form, initialed as being considered by the Examiner, be returned to the Applicant with the next official communication.

Pursuant to 37 C.F.R. §1.97(b), it is believed that no fee or statement is required with the Information Disclosure Statement. However, if an Office Action on the merits has been mailed, the Commissioner is hereby authorized to charge the required fees to Deposit Account No. 50-2886 in order to have this Information Disclosure Statement considered.

Pursuant to 37 C.F.R. §1.98(d), copies of some the listed documents are not provided as these references were previously cited by or submitted to the U.S. Patent Office in connection with Applicant's prior U.S. application, Serial No. 09/999,533, filed on October 31, 2001, which is relied upon for an earlier filing date under 35 U.S.C. §120.

INFORMATION DISCLOSURE STATEMENT

Serial No :10/656920

Filing Date: September 05, 2003

Title: Fiber Optic Tap With Compensated Spectral Filter

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Dkt: 1010.8126UU

The Examiner is invited to contact the Applicant's Representative at the below-listed telephone number if there are any questions regarding this communication.

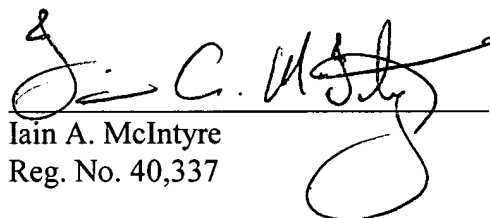
Respectfully submitted,

Carlson, Caspers, Vandenburg and Lindquist

Customer No. 38846

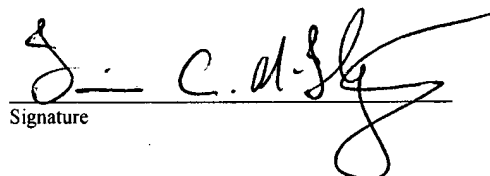
Date: January 8, 2004

By:


Iain A. McIntyre
Reg. No. 40,337

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Name: Iain A. McIntyre



Signature

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/655,920
Filing Date	09/05/2003
First Named Inventor	Parsons, Craig A.
Group Art Unit	Unknown
Examiner Name	Unknown

Sheet 1 of 2

Attorney Docket No: 1010.8126UU

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
	RE 37,044	02/06/2001	Wu			
	4,213,677	07/22/1980	Sugimoto et al.			
	4,474,424	10/02/1984	Wagner			
	4,550,975	11/05/1985	Levinson et al.			
	5,539,577	07/23/1996	Si et al.			
	5,612,824	03/18/1997	Si et al.			
	5,734,762	02/06/2001	Zheng			
	5,781,341	07/14/1998	Lee			
	5,799,121	08/25/1998	Duck et al.			
	5,845,023	12/01/1998	Lee			
	5,889,904	03/30/1999	Pan et al.			
	5,917,626	06/29/1999	Lee			
	6,002,818	12/14/1999	Fatehi et al.			
	6,040,944	03/21/2000	Pan et al.			
	6,055,347	04/25/2000	Li et al.			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²
	JP 09304647 A	11/1997	Kato et al.			
	JP 2001147341A	05/2001	Kato et al.			

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, symposium, catalog, etc.), date, page(s), volume-Issue number(s), publisher, city and/or country where published.	T ²
		U.S. Patent Application No. 10/655,735 - "Method for Face-Mounting Optical Components and Devices"	

EXAMINER

DATE CONSIDERED

**INFORMATION DISCLOSURE
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Complete if Known

Application Number	10/655,920
Filing Date	09/05/2003
First Named Inventor	Parsons, Craig A.
Group Art Unit	Unknown
Examiner Name	Unknown

Attorney Docket No: 1010.8126UU

US PATENT DOCUMENTS

Examiner Initial *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	Filing Date If Appropriate
	6,084,994	07/04/2000	Li et al.			
	6,132,106	10/17/2000	Yokoyama			
	6,160,932	12/2000	Huang et al.			
	6,185,347	02/06/2001	Zheng			
	6,198,858	03/06/2001	Pan et al.			
	6,415,067	07/02/2002	Copner et al.			
	6,430,337	08/06/2002	Bergmann et al.			
	6,477,289	11/05/2002	Li, Yiqiang			
	6,546,169	04/08/2003	Lin et al.			
	US-2001/0046345 A1	11/29/2001	Snyder et al.			
	US-2002/0106153 A1	08/08/2003	Wu et al.			
	US-2002/0101634 A1	08/01/2003	Ye, Feng			
	US-2003-0081908 A1	05/01/2003	Gage et al.			
	US-2003-0081901 A1	05/01/2003	Gage et al.			
	US-2003-0179992 A1	09/25/2003	Robilliard			

FOREIGN PATENT DOCUMENTS

Examiner Initials*	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Class	Subclass	T ²

OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS

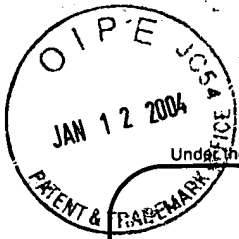
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²

EXAMINER

DATE CONSIDERED

Substitute Disclosure Statement Form (PTO-1449)

* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.¹ Applicant's unique citation designation number (optional) ² Applicant is to place a check mark here if English language Translation is attached



PTO/SB/122 (06-03)
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Address to:
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P.O. Box 1450
Alexandria, VA 22313-1450.

Application Number	10/656920
Filing Date	September 5, 2003
First Named Inventor	Parsons, Craig A.
Art Unit	Unknown
Examiner Name	Unknown
Attorney Docket Number	1010.8126UU

Please change the Correspondence Address for the above-identified patent application to:

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<input type="checkbox"/> Firm or Individual Name	Carlson, Caspers, Vandenburg, Lindquist				
Address	225 South Sixth Street				
Address	Suite 3200				
City	Minneapolis	State	MN	Zip	55402
Country	United States of America				
Telephone	612-436-6900	Fax	612-436-9605		

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I am the:

- ☐ Applicant/Inventor
- ☐ Assignee of record of the entire interest.
Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96).
- ☒ Attorney or Agent of record. Registration Number 40,337
- ☐ Registered practitioner named in the application transmittal letter in an application without an executed oath or declaration. See 37 CFR 1.33(a)(1). Registration Number _____

Typed or Printed
Name Iain A. McIntyre

Signature 

Date 01/08/2004

Telephone 612.436.9610

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below".

☐ *Total of 1 forms are submitted.

This collection of information is required by 37 CFR 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

If you need assistance in completing the form, call 1-800-PTO-9199 and select option 2.